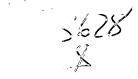
Receipt date: 02/28/2005



HSX/001 CON1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Timothy M. Keiser et al.

Application No.: 09/465,607 Confirmation No.: 9080

December 17, 1999 Filed

For COMPUTER-IMPLEMENTED SECURITIES TRADING

SYSTEM WITH A VIRTUAL SPECIALIST FUNCTION

Group Art Unit : 3628

Examiner Clement B. Graham :

Hon. Commissioner for Patents

P.O. Box 1450

New York, New York 10020

Alexandria, VA 22313-1450 February 24, 2005

FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicants hereby make the following U.S. patent applicationS of record in the aboveidentified patent application:

> Liddy et al. U.S. Patent 6,026,388 (February 15, 2000) Lupien et al. U.S. Patent 6,012,046 (January 4, 2000) U.S. Patent 5,819,237 (October 6, 1998) Garman U.S. Patent 5,508,731 (April 16, 1996) Kohorn

The aforementioned patents are listed on the accompanying Form PTO/SB/08a (submitted in duplicate) and copies are enclosed herewith.

Receipt date: 02/28/2005

It is respectfully requested that these patents be

(1) fully considered by the Patent and Trademark Office during
examination of this application; and (2) printed on any patent which
may issue on this application. Applicants request that a copy of
Form PTO/SB/08a, as considered and initialed by the Examiner, be
returned with the next communication.

This Statement is being submitted after the mailing of a First Office Action on the merits. Accordingly, applicants have enclosed a check in the amount of \$180.00 in payment of the fee for submission of an Information Disclosure in accordance with 37 C.F.R. \$1.97(c)(2). The Director is hereby authorized to charge payment of any additional fees required or to credit any overpayment of same in connection with this Fourth Supplemental Information Disclosure Statement.

A duplicate copy of this Fourth Supplemental Information Disclosure Statement is enclosed herewith.

I hereby certify that this Correspondence is being

deposited with the U.S. Pouts! Service as First

Class Mail an an anvelope

Andresson in.

Commissioner for Patents

HU Lay 1650

Alchandia, VA 22342 4450 cm

Lillian Garcia

Signature of Person Signing

Respectfully submitted,

jared Knercel

Registration No. 51,178

Agent for Applicants

Fish & Weave IP Group

Ropes & Gray LLP Customer No. 36981

1251 Avenue of the Americas

New York, New York 10020-1105

Tel.: (212) 596-9000

Receipt date: 02/28/2005

PTO/SB/08a (08-03) Approved for use through 07/31/2006, OMB 0651-0031

U.S. Patent end Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

	Applic
FOURTH SUPPLEMENTAL	Confi
INFORMATION DISCLOSURE	Filing
STATEMENT BY APPLICANTS	First
	Art Ur
FEB 3 6 2005 7	Exam

(Use as hany sheets as necessary)

Application Number	09/465,607	
Confirmation Number	9080	
Filing Date	December 17, 1999	
First Named Inventor	Timothy M. Keiser	
Art Unit	3628	
Examiner Name	Clement B. Graham	
Attorney Docket Number	HSX/001 Cont. 1	

U. S. PATENT DOCUMENTS					
Examiner	Cite No.1	Document Number	Publication Date	Name of Patentee or	Pages, Columns, Lines, Where
Initials*	Number-Kind Code ² (if known) MM-DD-YYYY	MM-DD-YYYY	Applicant of Cited Document	Relevant Passages or Relevant Figures Appear	
		6,026,388	02/15/00	Liddy et al.	
		6,012,046	01/04/00	Lupien et al.	
		5,819,237	10/06/98	Garman	
		5,508,731	04/16/96	Kohorn	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code* Number* Kind Code* (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Resevant rigures Appear	

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹			·

Examiner	(Clament Crohom)	Date	01/05/2000
Signature	/Clement Graham/	Considered	01/05/2009

*EXAMINER: Initial if reference considered, whether or not clatter is in conformance with MPEP 000. Draw time timough citation if not in conformance and not considered. Include copy of this form with next communication to applicants. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard S1.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicants are to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.